

# ***Office of Science Laboratory Appraisal Process***

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**Office of  
Science**  
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# Laboratory Appraisal Process

- **Changes to process include:**
  - **New Standard Level 1 (Goals) and Level 2 (Objectives) measures for all SC laboratories**
  - **Revised review process for annual laboratory performance plans and reports**
  - **New reporting approach (no adjectives/report card)**
  - **Standard Incentive Fee Calculation and other new incentives**



# Level One Measures (Goals)

1. Mission Accomplishment (Quality and Productivity of R&D)
2. Construction and Operation of Research Facilities
3. S&T Project/Program Management
4. Contractor Leadership/Stewardship
5. Environment Safety and Health
6. Business Systems
7. Facilities and Infrastructure
8. Security and Emergency Management

S&T  
Scores

Operations  
Scores



# Level Two Measures (Objectives)

## 1. Mission Accomplishment (Quality and Productivity of R&D)

- a. Output (productivity)
- b. Impact (significance)
- c. Leadership (recognition of S&T accomplishments)
- d. Delivery (meeting goals, milestones, delivering on promises)

## 2. Construction and Operation of Research Facilities

- a. Construction (schedule, budget, performance specifications and objectives)
- b. Operations (reliability, availability, cost-effectiveness of facility)
- c. Utilization (provide S&T foundation to maximize value of facility)
- d. Leverage (use of facility for other customers)

## 3. Project/Program Management

- a. Program Vision (maintaining key competencies to support research programs, quality of new hires)
- b. Planning (quality of the research plans, adequate consideration of technical risks, success in identifying and avoiding/overcoming technical problems, ability to take advantage of new opportunities)
- c. Use of Resources (effective decision making in managing and redirecting resources/projects, responsiveness to required changes/direction.)

## 4. Contractor Leadership/Stewardship

- a. Lab-wide Strategic Vision and Effective Planning (leadership in partnerships, creation of strategic alliances, selection of laboratory priorities, laboratory culture, technology transfer, community relations and education.)
- b. Contractor Leadership/Responsiveness/Accountability (e.g. does the contractor instill responsibility down the complete chain of command, do they provide appropriate assistance as necessary?)
- c. Corporate Involvement/Contributions (e.g., joint appointments, innovative financing, infrastructure support, investment in the laboratory, other.)

## 5. Environment, Safety and Health

- a. Preventing worker injury and illness
- b. Implementing integrated safety management
- c. Effective, efficient, prudent waste management/minimization/pollution prevention

## 6. Business Systems

- a. Sound, responsive and economical financial management systems
- b. Sound and responsive human resource/administrative management systems
- c. Sound, comprehensive procurement and property management systems

## 7. Facilities and Infrastructure

- a. Manage facilities and infrastructure to optimize usage and minimize life cycle costs
- b. Develop facilities and infrastructure plans that support mission accomplishment in a cost-effective manner
- c. Implement facilities and infrastructure program within technical, cost and schedule baselines

## 8. Security and Emergency Management

- a. Implement a comprehensive emergency management program
- b. Develop and implement a sound cyber-security program
- c. Protect special nuclear materials, classified matter and property
- d. Protect classified and sensitive information

**Level 1 measures have been finalized.  
Level 2 Measures are still being tweaked.**



# **Review Annual Laboratory Performance Plans/Reports**

- **Annual review of laboratory performance plans by SC Review Board**
- **Annual meeting with Director of Science to review and concur on proposed performance report/scores and any associated incentives**



# Reporting Approach

- **Adjectives replaced with four-point rating system with an identified score for each Level 1 and Level 2 measure**
- **Publish annual report card for each laboratory on the SC website**



# Annual Laboratory Report Card

- A** Mission Accomplishment (Quality and Productivity of R&D)
- A+** Construction and Operation of Research Facilities
- B+** S&T Project/Program Management
- B** Contractor Leadership/Stewardship
- B+** Environment Safety and Health
- B** Business Systems
- B+** Facilities Maintenance and Infrastructure
- B+** Security and Emergency Management



# Incentives under Consideration

- **Report Card/Scoring System**
- **Performance Fee**
- **Award Term**
- **Executive Bonus Pool**

